

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
 Kazuo YOKOYAMA et al. : **Mail Stop: PCT**
 Serial No. NEW : Attorney Docket No. 2004_1148A
 Filed July 20, 2004 :
 OPTICAL SWITCH, METHOD OF
 MANUFACTURING THE SAME, AND
 INFORMATION TRANSMISSION DEVICE
 USING THE SAME
**[Corresponding to PCT/JP03/00401
 Filed January 20, 2003]**

THE COMMISSIONER IS AUTHORIZED
 TO CHARGE ANY DEFICIENCY IN THE
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 ACCOUNT NO. 23-0975

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
 P.O. Box 1450
 Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☐ each U.S. Patent and U.S. Patent application publication (*for U.S. National applications filed after June 30, 2003 and International applications that have entered U.S. National Stage after June 30, 2003*),
- ☐ each reference previously cited in the international application PCT/_____; and/or
- ☐ each reference previously cited in prior parent application Serial No. _____.

1a. [X] This Information Disclosure Statement is submitted:

ATTACHMENT "D"

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

and thus no certification and/or fee is required.

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and

the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after

making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
 - b. ☒ a foreign patent office search report (in the English language) for references (AA-AF) is submitted herewith,
 - c. ☒ the concise explanation for references (AI-AJ and AL) are contained in the specification of the present application at pages 2-4,
 - d. ☒ the concise explanation set forth in the attached English language abstracts,
 - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☒ References (AG-AH and AK) are cited in an International Preliminary Examination Report attached hereto.

Respectfully submitted,

Kazuo YOKOYAMA et al.

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July 20, 2004

20 JUL 2004

FORM PTO 1449 (modified)

ATTY DOCKET NO.
2004_1148ASERIAL NO.
NEW

10/501893

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)

Date Submitted to PTO: July 20, 2004

APPLICANT
Kazuo YOKOYAMA et al.FILING DATE
July 20, 2004

GROUP

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AA	2-94578	4/1990	JP			Abstract
	AB	2000-19434	1/2000	JP			Abstract
	AC	9-90249	4/1997	JP			Abstract
	AD	1-276114	11/1989	JP			Abstract
	AE	2-96113	4/1990	JP			Abstract
	AF	00/55666	9/2000	WO			
	AG	3-494	1/1991	JP			
	AH	2002-287075	10/2002	JP			Abstract
	AI	2001-33713	2/2001	JP			Abstract
	AJ	2000-339725	12/2000	JP			Abstract

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

AK	PROCEEDINGS OF SPIE EUROPT SERIES, entitled " <u>Micro-optical Technologies for Measurement, Sensors, and Microsystems II and Optical Fiber Sensor Technologies and Applications</u> ", vol. 3099, June 1998, pages 158-165, Figs. 4-5'.
AL	International Conference on Optical MEMS and Their Applications, entitled " <u>MOEMS97</u> " Technical Digest, November 18-21, 1997, Pages 238-242 and 233-237'.

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.